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Attorney Docket # 5422-2

Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Yi-Chao LEE et al.

Serial No.: 10/801,292

Filed: March 15, 2004

For: Methods for Identification, Assessment,  
Prevention, and Therapy of Cancer

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on  
November 18, 2004  
(Date of Deposit)

Kent H. Cheng  
Name of applicant, assignee or Registered Representative  
*Kent H. Cheng*  
Signature  
November 18, 2004  
Date of Signature

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**RESPONSE TO NOTICE TO COMPLY WITH REQUIREMENTS  
FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE  
SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

S I R:

Responsive to the Notice to Comply with Requirement for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures dated September 21, 2004, Applicants submit herewith a sequence listing for the nucleotide sequence and/or amino acid sequence disclosed in the above-identified patent application. Also enclosed is an Amendment in response to Notice under 37 CFR §§1.821-825 and a Statement to Support Filing and Submission in accordance with 37 C.F.R. §§1.821-1.825.

**REMARKS**

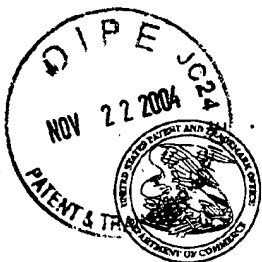
A copy of the sequence listing in computer readable form is also enclosed. The content of enclosed paper and computer readable copies of the sequence listing are the same, and the submission contains no new matter.

In the event that any additional fees or charges are deemed necessary in connection with the application at the present time, the same may be charged to our Patent and Trademark Office Deposit Account No. 03-2412.

Respectfully submitted,  
COHEN, PONTANI, LIEBERMAN & PAVANE

By: Kent H. Cheng  
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(212) 687-2770

Dated: 18 November 2004



## UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/801,292	03/15/2004	Yi-Chao Lee	5422-2

CONFIRMATION NO. 3057

27799  
 COHEN, PONTANI, LIEBERMAN & PAVANE  
 551 FIFTH AVENUE  
 SUITE 1210  
 NEW YORK, NY 10176

## FORMALITIES LETTER



\*OC000000013858139\*

DOCKETED

Date Mailed: 09/21/2004

# NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

Filing Date Granted

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- This application clearly fails to comply with the requirements of 37 CFR. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

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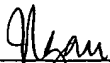
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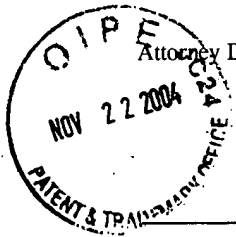
*A copy of this notice MUST be returned with the reply.*

A handwritten signature in black ink, appearing to be "H. M.", is written over a horizontal line.

Customer Service Center

Initial Patent Examination Division (703) 398-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



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Examiner:

Group Art:

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**Amendment in Response to Notice Under 37 CFR §§1.821-825**

SIR:

Responsive to the Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures mailed September 21, 2004, please amend the application as indicated on page 2.

**Amendments to the Specification** begin on page 2 of this paper.

**Remarks/Arguments** begin on page 3 of this paper.